



Department of General Services
Procurement Division
707 3rd Street, 2nd Floor
West Sacramento, CA 95605

STATE OF CALIFORNIA

MASTER SERVICE AGREEMENT

SUPPLEMENT #3 EFFECTIVE DATE: October 9, 2002

CONTRACT NUMBERS/CONTRACTORS:

5-00-70-01-BENEDON & ASSOCIATES 5-00-70-02-BUSINESS PROCESS SOLUTIONS
5-00-70-03-ELECTRONIC IMAGE DESIGNERS
5-00-70-04-FILE PROS 5-00-70-05-INFORMAX DATA SYSTEMS
5-00-70-06-INTEGRATED COMPUTER TECHNOLOGY 5-00-70-07-MATTOX GROUP
5-00-70-08-P C IMAGING

COMMODITY:

CATEGORY I RECORDS MANAGEMENT CONSULTING
CATEGORY II IMAGING FSR SERVICE FOR SMALL WORKGROUPS
CATEGORY III IMAGING FSR SERVICE FOR MEDIUM WORKGROUPS
CATEGORY IV IMAGING FSR SERVICE FOR LARGE WORKGROUPS

CONTRACT TERM: FEBRUARY 4, 2000 THROUGH FEBRUARY 3, 2003

(option to extend this contract is on a year to year basis for up to two (2) additional years)

DISTRIBUTION CODE:

1—POSTED ELECTRONICALLY ON DGS/PD/MACS UNIT INTERNET SITE
2---HARD COPY MAILING TO Q-1 LIST = STATE AND LOCAL GOVERNMENT AGENCY
3—HARD COPY MAILING TO THE 8 MSA CONTRACTORS

This MSA Ordering Procedures are available on the DGS Procurement Division
Internet web page: www.pd.dgs.ca.gov/masters/recordmgmt

The following revised Ordering Instructions are hereby incorporated effective October 09, 2002:

DIANA LABONTE, MANAGER, TECHNOLOGY ACQUISITIONS

ORDERING PROCEDURES

MASTER SERVICES AGREEMENT

FOR

RECORDS MANAGEMENT CONSULTING
AND
DOCUMENT IMAGING/WORKFLOW PROJECT
FEASIBILITY STUDY REPORT SERVICES

October 09, 2002
(Revised)

PROCUREMENT DIVISION MISSION STATEMENT

We ensure the success of our customer's mission by providing strategic acquisition and materiel management guidance while maintaining public trust.

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The Master Service Agreement Order Form GSOP 206	
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**MSA ORDERING PROCEDURES
FOR RECORDS MANAGEMENT AND
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FEASIBILITY STUDY REPORT SERVICES**

INTRODUCTION

A. PURPOSE

This Master Service Agreement provides State and Local Agencies with Records Management Consulting and Document Imaging/Workflow Project Feasibility Study Report Services not currently available in-house. A Local Agency is any city, county or other governmental body empowered to spend public funds per California Public Contract Code. These services are available when an agency determines that it has a specific need, which cannot be met by State staff. Please visit these important web site pages:

- California Records & Information Management (CalRIM) Program, at www.pd.dgs.ca.gov/calrim/default.htm
- Statewide Imaging Program, at <http://www.pd.dgs.ca.gov/imaging/default.htm>

A Local Agency is any city, county, district or other governmental body empowered to spend public funds per California Public Contract Code 12110. While the State of California makes this Master Agreement available to Local Governmental Agencies, each Local Agency should make its own determination whether using the Master Agreement is consistent with their procurement policies and regulations.

B. BENEFITS

- Choice of several contractors for statewide application.
- Assurance that the Contractor has experience in the category for service to be provided.
- Ability to hire a contractor within a short time since approval is granted within your own agency.
- Fixed hourly rates.
- No need to worry about Disabled Veteran Business Enterprise participation requirements. All reporting and record keeping for work orders awarded as part of this Master Agreement is done at the Department of General Services.
- No need to conduct a competitive procurement since the Procurement Division, Department of General Services has already done that for you. We do recommend that you contact several contractors for proposals and then select the contractor which will provide the most value effective product.
- The hiring agency may also require the Contractor help prepare a Request for Proposal (RFP) subsequent to completion of an FSR or for consulting services during the implementation of an approved FSR.

C. RESTRICTIONS

There are no restrictions on how long you may use the contractor.

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D. ORDER PLACEMENT

You may place an order anytime during the effective periods of the contracts. All contracts are effective from February 4, 2000 to February 3, 2003. The State at its option may extend this contract on a year to year basis for up to two (2) additional years.

E. ORDER INITIATION

Coordinate with the applicable units within your agency (i.e., Procurement, Business Services, Contracts, etc.). There may be other forms that need to be completed. Once you have obtained appropriate approvals, the contractors can be contacted for proposals. Local Agencies must complete a GSOP-206 filled out according to the ordering procedure in the following contract guidelines section. The Local Agency must acknowledge on their order that they agree to pay the State administrative fee. The current State fee is 1.93% of the order total. The contractors will include the administrative fee on local government agencies' invoices only.

F. STATE OF CALIFORNIA CONTACTS (DGS - Procurement Division)

Order assistance:
Jack Fort
Department of General Services
Procurement Division
California Records and Information
Management (CalRIM) Program
707 3rd Street, 2nd Floor
West Sacramento, CA 95605
Phone: (916) 375-4404

Contract Administrator:
Pete Mastella
Department of General Services
Procurement Division
Technology Acquisition Section
707 3rd Street, 2nd Floor
West Sacramento, CA 95605
Phone: (916) 375-4496

G. CONTRACTOR CONTACTS

Note: Check the PD web site list of contractor contacts or MSA supplements for contractor contact changes: <http://www.pd.dgs.ca.gov/masters/recordmgmt>

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CONTRACT GUIDELINES

STEPS TO PLACING AN ORDER

A. PROCUREMENT GUIDELINES

A State or participating local agency may select any contractor(s) listed herein for the required category(ies) of service.

1. Effective immediately, all orders are subject to Management Memo 02-19, dated August 20, 2002, where applicable. Ordering agencies must follow all applicable state mandated guidelines, e.g., State Administrative Manual, Management Memos, Agency Directives, California Acquisition Manual and California Codes. All state agencies must comply with all the applicable instructions and attachments of Management Memo 02-19 when ordering through the MSA. This includes the requirement that the state agencies must submit a Notice of Contract Award to the DGS within five days of the award for orders over \$250,000. For all orders under this MSA, the ordering agency is not required to obtain three quotes. Approval by the Department Director or immediate next ranking official is required for orders over \$250,000. For orders exceeding \$500,000, the ordering agency must notify the DGS (DGS Imaging MSA Contract Manager) prior to issuance of the purchase order.

a. MSA Exemption Process to the \$500,000 threshold:

For orders over \$500,000, the agency must provide a memo to the DGS prior to the issuance of the purchase order. The DGS will review this information to validate that the agency obtained best value for the State. The agency documentation should include the following information:

- Identify the need for the goods and/or services and the dollar value of the impending purchase order.
- Explain how the department has determined that issuance of a purchase order to this particular contractor makes good business sense and how best value for the department has been achieved.

The DGS will review the submitted documentation, and upon agreement with the content, the DGS will issue a letter concurring with the department's recommendation, thereby allowing issuance, by the department, of the purchase order.

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B. NEW ORDERS

Once you have received all appropriate departmental and agency approvals, you should take the following steps:

1. Send the partially completed GSOP-206 and the completed Work Order Statement to the contractors you have selected from the appropriate Contractor Hourly Rate Schedule in Section IV. You may not use this Master Agreement to award projects to contractors who are not listed in the appropriate category.

You need to send the documents to only one contractor; however, you should attempt to get proposals from several contractors. Your evaluation of several proposals will help insure that you select the contractor who will provide the most value effective services.

The documents can be sent via FAX.

2. Evaluate the proposals submitted by the contractor(s) to make sure that all of the elements of your request are met.

Insure that the rates proposed by the contractor for each service are no higher than those listed in the appropriate Contractor Rate Schedule. Contractors may not exceed the rates listed in the schedule nor may they charge for items other than those listed on the Master Agreement Work Order.

Because the contractors have been required to provide fixed rates as part of their responses, it is advisable that cost be an important criterion in your determination of which contractor will provide the most value effective services.

3. Conduct any necessary interviews. Contractors are required to submit all applicable resumes to you with their proposal. Individuals must be available for interview, on-site at no expense to the State, within five (5) working days of your request for such an interview.
4. Make your selection and obtain all required final approvals prior to the contractor's commencement of work. This approval is to be recorded in box number 18, 19 and 20 shown on GSOP-206. (See Section V).
5. Complete the MSA Hiring Activity Report (See Template).

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C. DISTRIBUTION

A copy of the Master Services Agreement Order, GSOP-206 (with original signatures), Work Order Statement and the MSA Hiring Activity Report must be sent to:

Department of General Services, Procurement Division
Attn: MSA Contract Administrator, Technology Acquisitions Section,
707 3rd Street, 2nd Floor, West Sacramento, CA 95605

Department of General Services, California Records & Information Management
(CalRIM) Program 707 3rd Street, 2nd Floor, West Sacramento, CA 95605

A copy of the Master Services Agreement Order, GSOP-206 (with original signatures) and Work Order Statement must be sent to: State Controller's Office, Claims Audit, 3301 C Street R404, Sacramento, CA. 95816.

D. NO ACCEPTABLE PROPOSALS

If your agency declines all proposals from the various contractors or is unable to find an appropriate contractor during the review process, your agency may utilize any other procurement process available to your agency. You should inform the contractors so that they can coordinate their resources accordingly.

E. CONTRACTOR TIME REQUIREMENTS

Delays will seriously reduce the effectiveness and intent of the Master Services Agreements (MSA), so no contractor will be permitted to continue their contract if they, in the State's sole opinion, cause the process to become unreasonably delayed.

- A contractor must either accept a MSA order or decline it within three (3) working days.
- Once the contractor has accepted the order, the contractor must provide, in one single submission, a complete project proposal to include all appropriate candidates resumes to the requesting agency within no more than five (5) working days. The resumes submitted must substantiate that the candidate has the requisite skills to perform the work.
- Contractor candidates must be available for interview within an additional five (5) working days.
- Contractor personnel must be available to start work at a mutual acceptable time or within two weeks of award of contract.

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F. TERMINATION

The State reserves the right to terminate any contractor personnel on any particular work order for any reason (e.g., breach of security, unacceptable business conduct or incompetence) within three (3) working days of notification by the agency. The State reserves the right to require replacement for such terminated personnel within ten (10) working days of notification by the State. The State will pay no charges for such early termination.

The contractor may not, without the State's consent, replace contractor personnel other than for reasons beyond the contractor's control.

The State reserves the right to terminate any Contractor's Master Services Agreement contract with a thirty (30) day prior written notice to the contractor. The State will pay no charges for such early termination.

The State reserves the right to cancel any contractor's entire MSA contract without penalty to the State for any of the following reasons.

1. The contractor offers a candidate who does not meet these minimum qualifications.
2. The contractor offers a candidate who does not have the specific skills requested.
3. The contractor's proposed candidates are unacceptable or unavailable for three consecutive requests within any sixty-day period. A contractor can be exempted from this requirement only if in advance they provide written notice requesting to be omitted from quoting for certain types of expertise.
4. The contractor offers a candidate who does not have the specified minimum paid experience.
5. The contractor offers a candidate who does not have reasonable familiarity with the type of environment in which they will work, consistent with the category requested, and will not be immediately productive with minimal orientation and training on the hardware and software tools which are utilized by the requesting State agency.
6. The contractor fails to either;
 - a. decline a specific MSA order within three (3) working days, or
 - b. accept a specific MSA order and provide resumes of qualified candidates to the requesting State agency within five (5) working days.

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7. The contractor provides candidates who are not available to interview within five (5) working days of a verbal request from the State.
8. The contractor fails to respond with acceptable candidates on any three (3) MSA requests within sixty (60) calendar day period.
9. The contractor provides candidates who are unacceptable to the using agencies on three (3) MSA requests within a sixty (60) calendar day period.
10. The contractor provides candidates who are not available to start work at a mutually agreeable time or within two (2) weeks of being verbally accepted by a State agency in response to an MSA order.
11. The contractor makes a proposal for a project that requires a bond and fails to provide a Performance bond, has their bond revoked, or is found to be unbondable.
12. The agency at its option may terminate its Master Service Agreements Order with a contractor upon 30 day's prior written notice to the contractor. If a Master Service Agreements Order is terminated, the agency will reimburse the contractor based on the terms of the Job Duty Statement.

G. AMENDMENTS

An amendment is required if the scope is changed, if the dollar amount is changed or if one individual is replaced by another individual.

Agencies may amend a MSA order by completing another GSOP-206, noting the amendment number in box number 4, checking the Amendment block in box number 7.

Any increase in hours is to be noted with a "+" under the "Total Hours" column. The "Cost Extension" column should also be identified with a "+." The "Total Cost" area should reflect the sum of previously approved money and additional money requested via the amendment. If the "Service Period" is being extended, the "From" date would be unchanged but the "To" date would reflect the amended date. Send the appropriate copies forward and process the same as a new order.

H. AGENCY REPORTING REQUIREMENTS

If a contractor is performing in an outstanding manner, or problems are encountered, agencies are encouraged to complete a State Agency MSA Contract Performance Report, and send it to the Department of General Services Procurement Division. Agencies can request access to this information during the hiring and selection process.

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I. OTHER CONDITIONS

1. Contractor Requirements

The contractor's personnel will be directly supervised by an agency employed project manager for the project to which they are assigned. Project policies, standards, and procedures established by the State and the project manager must be followed by contractor personnel.

Unless otherwise specified by contract amendment, the State ordering agency will provide all workspace, materials, and clerical assistance normally associated with systems and programming work.

If the Contractors personnel are required to perform their duties at the agency location, it shall be performed during regular agency work day and normal work hours, unless requested by the agency to work extended hours or other than regular work hours. However, there will be no increase in the hourly rate for such extended hours. Since this is a Statewide contract, work may be performed throughout the State.

2. Agency Requirements

- a. The agency shall provide normal office working facilities and equipment necessary for contractor performance under this agreement.
- b. The agency is responsible for providing required information, data, documentation, and test data to facilitate the contractor's performance of the work.
- c. The Master Agreements Service order will specify the agency individual responsible for overseeing the contractor's performance and completion of the requested services, and to whom all communications relative to those services be addressed.
- d. Delay or failure by the agency to fulfill the above described responsibilities, such that the contractor is prevented from performing in accordance with the applicable Master Services Agreement Order and supporting documentation, may result in deviations from previously agreed upon work schedules. Should the contractor determine that a delay exists, or is probable due to failure of the agency, the contractor will notify the agency in writing immediately. Communications should be addressed to the Agency Representative named in the Master Services Agreement Order.

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- e. The State of California Contact (Section I) at the Department of General Services Procurement Division is the individual to whom all communications relative to this agreement will be addressed in cases where issues cannot be resolved with the individual identified in Paragraph II above.

3. Performance Bonds

Some Master Service Agreement Orders may require the contractor to supply a Performance bond. If a bond is required for a project, the agency will indicate the need for a bond in the request for proposal to the contractor. If a bond is required, the Prime contractor is responsible for supplying the bond for the project and will do so at no additional cost to the requesting agency. The bond need not be submitted with the contractor's proposal but a letter of bondability must be included with the proposal if bonding is required. The Prime contractor must furnish a bond to the requesting agency prior to commencement of any work and the bond shall be for an amount equal to fifty percent (50%) of the total cost for the project. The bond must be from an admitted surety insurer and must guarantee the contractor's compliance with the terms of the Master Service Agreement and Job Duty Statement for the project.

A Performance bond is required when an agency chooses to use progress payments. The use of progress payments requires that not less than ten percent (10%) of the total cost for the project be withheld pending final successful completion of the contract. After completion of the project, the amount withheld will be paid to the contractor. However, if the contract consist of the performance of separate and distinct tasks, then any funds so withheld with regards to a particular task may be paid upon completion of that task. This is only applicable when the benefits of a completed task can be fully utilized without completion of subsequent tasks. Separate distinct tasks and the percentage of the total cost to be withheld will be clearly identified in the agencies requirement for the project and, the Work Order Statement.

J. DVBE

Since the Department of General Services awarded this Master Service Agreement, the Department of General Services will report any efforts towards DVBE participation. When placing an order against this MSA, agencies will not need to consider DVBE participation as part of their selection criteria.

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CATEGORIES AND CLASSIFICATIONS

A. CATEGORIES OF SERVICE

The resulting MSA will contain four (4) categories of services. Contractors may bid on one or more categories. The MSA categories are:

- Category I - Records Management Consulting Services
- Category II - Feasibility Study Reports (FSRs) for document imaging/workflow projects of small size (2 - 30 client image enabled workstations).
- Category III - Feasibility Study Reports (FSRs) for document imaging/workflow projects of medium size (30 - 150 client image enabled workstations).
- Category IV - Feasibility Study Reports (FSRs) for document imaging/workflow projects of large size (150+client image enabled workstations).

For published price lists, refer to web site: <http://www.pd.dgs.ca.gov/masters/recordmgmt>

The following paragraphs provide detailed information as to the services available by category.

1. RECORDS MANAGEMENT CONSULTING SERVICES

Contractors under this MSA must be able to provide the following range of records management consulting services either directly or through a subcontractor. For detailed definitions of these services refer to Attachment A of this section.

- DEVELOPMENT AND IMPLEMENTATION OF AN OVERALL RECORDS MANAGEMENT PROGRAM FOR AN ORGANIZATION
- RECORDS CREATION AND USAGE
 - Records Creation
 - Correspondence Management
 - Directives Management
 - Forms Management
 - Mail Management
 - Reports Management
 - Reproduction Management
 - Special Media Management
- RECORDS SYSTEMS, STORAGE AND RETRIEVAL
 - Basic Concepts
 - Filing Systems
 - Information Retrieval Systems

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- Active File Systems
- Active Files Operations
- Inactive Files Operations (departmental storage and records centers)
- Special Storage Requirements

- Converting Files To New Systems
- Automated Paper and Film Systems
- Bar Coding Management
- RECORDS APPRAISAL, RETENTION, PROTECTION AND DISPOSITION
 - Basic Concepts
 - records inventory
 - Creation of Records Retention Schedules
 - implementing and administering schedules
 - archives management
 - vital records program
 - disaster recovery program
- ELECTRONIC RECORDS & DATABASE MANAGEMENT
- OFFICE FILING EQUIPMENT AND SUPPLIES
- MANAGEMENT AND OPERATIONS OF RECORDS CENTER FACILITIES
- AUDITING AND EVALUATIONS OF EXISTING RECORDS
MANAGEMENT PROGRAMS AND DEVELOPING RECOMMENDATIONS
FOR CORRECTIVE ACTIONS AND/OR IMPROVEMENTS
- QUALITY ASSURANCE (ISO 9000)
- EVALUATION AND ANALYSIS OF PROPOSED LEGISLATION, POLICIES,
OPERATING PROCEDURES AND/OR GUIDELINES FOR GOVERNMENT-
WIDE OR AGENCY-WIDE RECORDS MANAGEMENT PROGRAMS
- LEGAL AND ETHICAL RESPONSIBILITIES IN RECORDS MANAGEMENT
PROGRAMS

2. FSRs FOR DOCUMENT IMAGING & WORKFLOW PROJECTS

The State of California's requires a structured FSR process that represents both a complete project design and a detailed cost benefit analysis. The State's FSR currently includes the following elements:

- a. Definition of the Business Problem or Opportunity (Background)
- b. Requirements of a Response:
 - 1) Establish objectives for a response that are related to the problem or opportunity, described in terms of the program(s) affected by the problem, defined as observable, measurable, achievable and expected to: reduce costs; avoid costs; increase revenue; or, improve timeliness and/or quality
 - 2) Specify Functional Requirements of a Response

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c. Identification and Analysis of Alternative Responses

1) Analyze the Current Method of Operation

- Physical characteristics of each type of document
- Storage locations - type, volume, and space used
- Volume, timing and processing of incoming & outgoing documents
- Volume, frequency, speed and patterns of internal document routing and retrievals
- Personnel time and costs associated with all document handling and processing
- Existing information technology infrastructure and potential integration requirements
- Materials and equipment cost of existing records and workflow system.

2) Identification of Alternative Responses

d. Identification of the Best Response

e. Completion of Economic Analysis Worksheet (a structured cost benefit analysis spreadsheet)

f. Preparation of a Project Management Plan (this must provide a detailed project implementation schedule.

The contractor will be required to gather necessary data to the completion of the FSR, including, but not to be limited to, time frames, resources, cost analysis and any other data that will be used as a comparison of the current system. To the extent possible, the customer agency will provide any statistical data to the consultant as requested.

RECORDS MANAGEMENT CONSULTING SERVICES - DEFINITIONS

Contractors under this MSA must be able to provide the following range of records management consulting services either directly or through a subcontractor. This includes:

A. DEVELOPMENT AND IMPLEMENTATION OF AN OVERALL RECORDS MANAGEMENT PROGRAM FOR AN ORGANIZATION.

Records Management is defined as:

The professional management of information in the physical form of records from the time records are received or created through their processing, distribution, and use, to placement in a storage and retrieval system until either eventual elimination or identification for permanent archival retention.

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B. RECORDS CREATION AND USAGE

1. **Records Creation.** The process of producing or reproducing information.
2. **Correspondence Management.** The application of management techniques to correspondence practices that result in increased efficiency, improved quality, and reduced costs.
3. **Directives Management.** Directives management is developing written guidance for policies and procedures to be followed in carrying out assigned responsibilities in an organization. Directives include manuals, handbooks, orders, notices, standard operating instructions, procedures, guidelines, etc.
4. **Forms Management.** A forms control program is a records management function designed to achieve the efficient collection and distribution of information through the use of forms.
5. **Mail Management.** The management of the movement of information to provide prompt receipt and transmission of material moving into, within, or leaving an organization. It includes the movement of received or internally generated documents from point to point within the organization as well electronic mail.
6. **Reports Management.** The process of improving report preparation and related procedures through the analysis of reporting requirements and reviewing the transmission of information from one point to another.
7. **Reproduction Management.** A program to control copying, duplicating, and printing practices, procedures, and devices to ensure the effective, economical, and timely reproduction of necessary copies.
8. **Special Media Management.** This would include magnetic, i.e., computers, word processors, audio and video recorders; engineering drawings and cartographic materials; scientific recordings, art works, photos; and other unique items. Special media management requires considering the special requirement of that medium. For example: What damage can occur to floppy disks if not cared for correctly?

C. RECORDS SYSTEMS, STORAGE AND RETRIEVAL

1. **Basic Concepts.** A system is a group of interrelated parts acting together to accomplish a goal. The goal of the records management system is to provide the right information to the right person at the right time at the lowest possible cost. Steps taken to set up a records management program include: assessing information needs, controlling volume of information, information retrieval, classifying information, determining basic file groups and rules of alphabetic order--documented and structured for consistency.
2. **Filing Systems.** This includes selecting a filing system that involves the determination of the most efficient and effective method of filing. It is the planned method of indexing and arranging records for storage and retrieval.
3. **Information Retrieval Systems.** The process of locating stored information and getting it to users in an efficient and timely manner.

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4. **Active File Systems.** Working papers or other records consulted in the performance of current administrative work that provide decision-makers the necessary information on which to base current decisions.

5. **Active Files Operations.** Active records are vital to the decision-making function. Their rapid retrieval is facilitated by housing them in close proximity to the people requiring the information. This would include files stations, physical arrangement, access restriction and control, filing steps, and review and maintenance.

6. **Inactive Files Operations** (departmental storage and records centers). This includes departmental storage of records in an area, such as a basement or warehouse, that is less expensive than office space but more than a records center. It would include the physical arrangement, access restriction and control, review, maintenance and appropriate disposition.

7. **Special Storage Requirements.** Many records are not in standard paper form and cannot be accommodated in traditional records housing (active facilities as well as records centers). These are records that require special storage requirements such as oversized documents and magnetic media. Special storage requirements would include how these records are stored, protected and made available. A disaster recovery plan would be part of special storage requirements.

8. **Converting Files to New Systems.** The process or steps that must be taken to initiate the conversion, approval, planning, decision, implementation and follow-up process to the new system.

9. **Automated Paper and Film Systems.** A system that uses a computer or microprocessor to store, retrieves, and/or controls information. Computer-Assisted Retrieval (CAR) is a records storage and retrieval system, normally microfilm-based, that uses a computer for indexing, automatic marking such as blips or bar codes for identification devices for reading those markings and for transporting the film for viewing.

10. **Bar Coding Management.** The use of bar code wands to read identifying codes thereby eliminating re-keyboarding file numbers and thus reducing misfiles and saving personnel time.

D. RECORDS APPRAISAL, RETENTION, PROTECTION AND DISPOSITION

1. **Basic Concepts.** The records management function of evaluating and prioritizing information in order to effectively retain, protect and dispose of the information. This includes understanding the difference between records and non-records, understanding records series, records media, and records content.

2. **Records Inventory.** The initial step in determining the quantity and types of records and information within an organization. The records inventory is defined as a detailed listing of the volume, scope location, media and organization of an organization's records. It becomes the working document for the preparation of the records retention and disposition schedule, for the vital records program, and the disaster recovery program.

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3. Creation of Records Retention Schedules. A comprehensive list of records series by department indicating for each series the length of time that series is to be maintained in office areas, records centers, and when and if such series may be destroyed. It summarizes the results of the appraisal of records and makes possible an orderly, efficient retention and disposition of such records.

4. Implementing and Administering Schedules. Management and control of records retention requires promotion of the objectives of the retention schedule, evidence of top management and records department support, effective training of all employees, and consistent enforcement procedures. Included in implementing and administering retention schedules would be applying schedules, automated support, relocation to storage, transfer of vital records, permanent archival retention, possible donation to universities or government, and appropriate disposal.

5. Archives Management. A business archive is a records holding area that is devoted to the preservation of records with permanent value: historical, legal, or social. Records centers, on the other hand, are established to preserve records for administrative and operating purposes. Archives are used to preserve corporate memory, provide product information, policy direction, personnel information, and financial information, maintain public relations activities, provide legal advantage and research service, and prepare commemorative histories.

6. Vital Records Program. Records that contain information needed to establish or continue an organization in the event of a disaster. The functions include an evaluation of potential disasters (including ordinary hazards, human hazards, and disasters), an analysis and classification of vital records, the selection of protection methods, the establishment of operating procedures, and the maintenance of communications with respect to the necessity of the program. The vital records program is also integrated into a disaster recovery plan.

7. Disaster Recovery Program - A disaster recovery program is designed to protect the record and people in an organization and to provide for an orderly recovery process following a disaster.

E. ELECTRONIC RECORDS & DATABASE MANAGEMENT

"Electronic records management" is the planning, budgeting, organizing, directing, training, and control activities associated with electronic records. An "electronic record" is any information that is in a form only a computer can process. "Electronic record keeping" is the operation of record keeping systems that require a machine interface for the human use of records. Examples include magnetic tapes, disks and drums, video files, and optical disks.

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The elements of an Electronic Records Management Program would include: systematic inventory of all electronic records; preparation and implementation of retention schedules; identification and protection of vital records; selection of appropriate media; and implementation of proper storage, care, and handling procedures for electronic media.

Database management is another type of electronic filing system. A database is a collection of data that forms the basis of an activity. The two elements essential to a database are "coherence and organization." Coherence means the data are related to a specific activity or purpose. Organization means the data are related in such a way that users can meaningfully access parts of the database. Some of the most common methods used to arrange and manage records within a database are hierarchical, relational, and network databases.

Additionally, information may be stored in databases that contain either elements of data or entire documents stored in digital form. Advantages of database management systems for records management include: faster access to information, centralization of information, flexibility of information retrieval and reduction in misfiling.

Conversely, there are some limitations of database management. They are: cost of developing the database, cost of the necessary equipment and software, need for additional expertise to administer and operate the electronic system, and cost of maintaining duplicate systems (in many situations) when paper or microfilm documents cannot be replaced by electronic files because of legal or historical requirements.

F. OFFICE FILING EQUIPMENT AND SUPPLIES

A variety of equipment (manual, mechanical, and automated) and supplies that would be available for the storage and retrieval of information. Selection criteria involves storage/retrieval, space, security requirements, and equipment and operations costs. There are advantages and disadvantages of several types of equipment and office supplies.

Standardization must be considered, such as: type, size, construction, vendor, color, quality, compatibility, and cost versus effectiveness.

File cabinet types would include vertical, lateral and special purpose; shelf filing would include stationary shelving and movable units; power (mechanized) units; safes and security units; visible index records units.

Supplies would include folders, tabs, labels, guides, and out cards and other controls. Building design considerations would include space and electrical requirements, layout design, floor loading, safety and security.

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G. MANAGEMENT AND OPERATIONS OF RECORDS CENTER FACILITIES

Management of a records center requires effective staffing, cooperative users, and efficient procedures as well as appropriate facilities. Included in the management of record centers are control procedures, retention schedule compliance, roles of custodian and owner and user needs. Operating the records center requires the effective use of accessions (transfer list), locating and indexing methods, search and charge-out, refills and interfiles, disposal procedures. Additionally, emergency provisions, program review and evaluation, performance statistics, work analyses and reports.

**H. AUDITING AND EVALUATIONS OF EXISTING RECORDS
MANAGEMENT PROGRAMS AND DEVELOPING RECOMMENDATIONS
FOR CORRECTIVE ACTIONS AND/OR IMPROVEMENTS**

The process of examining and verifying activities on a regular basis. An audit trail (paper trail) is the documentation that accompanies the audit process. Evaluation follows an audit and the effectiveness and productivity of an activity can then be determined. This would include generating proposed or suggested beneficial actions.

I. QUALITY ASSURANCE (ISO 9000)

An in place, quality system, registered under the International Organization for Standards, which detects and corrects deficiencies and non-conformance. It is an effective corrective and preventive action system that should make a process run more smoothly, increase productivity and improve the quality of products and services. It is viewed by successful organizations as a productivity tool, which should be incorporated in its strategic plan and be seen as a long-term investment.

**J. EVALUATION AND ANALYSIS OF PROPOSED LEGISLATION, POLICIES,
OPERATING PROCEDURES AND/OR GUIDELINES FOR GOVERNMENT-
WIDE OR AGENCY-WIDE RECORDS MANAGEMENT PROGRAMS**

The process and method to determine or appraise essential features and relations of proposed action.

**K. LEGAL AND ETHICAL RESPONSIBILITIES IN RECORDS MANAGEMENT
PROGRAMS**

Legal requirements would include knowledge, understanding and application of government regulations, contracts, right to privacy, copyrights and patents and proprietary information.

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Litigation consideration for records would include admissibility of evidence, disclosure, privileged information.

Ethical conduct would include how should a records manager serve as a model to employees with regard to ethics. Determining what information should be included in a code of ethics and how its used and the organization philosophy are useful in setting policy and in making ethical decisions.

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**MSA Hiring Activity Report
(Template)**

Agency Name:
Agency Order Number: _____

Contact Person: _____
Phone Number: _____

Category of Services: _____

CONTRACTOR NAME				
INDIVIDUAL CONTACTED				
DATE OF CONTACT				
TIME OF CONTACT				
DID THE CONTRACTOR SUBMIT A PROPOSAL?				

Name of the Selected Contractor: _____

Use the following space to provide an explanation of how the contractor's proposal provides the most value effective services to the State.